

04/17/01

13660 U.S. PAT.

Please type a plus sign (+) inside this box ☒

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number

PTO/SB/05 (08-00)  
Approved for use through 10/31/2002 OMB 0651-0032

U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

UTILITY  
PATENT APPLICATION  
TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. **23754-X**

First Inventor **WU**

Title **AZA COMPOUNDS**

Express Mail Label No.

PTO  
09/835623  
04/17/01

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☐ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages **106**]  
(preferred arrangement set forth below)
- Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☐ Drawing(s) (35 U.S.C. 113) [Total Sheets ☐
5. Oath or Declaration [Total Pages **2**]
- a. ☐ Newly executed (original or copy)
- b. ☐ Copy from a prior application (37 CFR 1.63 (d))  
(for continuation/divisional with Box 17 completed)
- i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s)  
named in the prior application, see 37 CFR  
1.63(d)(2) and 1.33(b).
6. ☒ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)
- a. ☐ Computer Readable Form (CRF)
- b. Specification Sequence Listing on:
- i. ☐ CD-ROM or CD-R (2 copies); or
  - ii. ☐ paper
- c. ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement [Power of Attorney  
(when there is an assignee)]
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 [Copies of IDS  
Citations]
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Other:

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76.

☐ Continuation ☐ Divisional ☒ Continuation-in-part (CIP) of prior application No. **09/553,638**

Prior application information

Examiner **J. Truong**Group / Art Unit **1624**

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 18. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label**20529**or ☐ Correspondence address below

Name **Nath + Associates PLLC**

Address **1030 RGreenth Street, N.W.**

**Sixth Floor**

City **Washington** State **DC** Zip Code **20005-1503**

Country **USA** Telephone **(202)775-8383** Fax **(202)775-8396**

Name (Print/Type) **Joshua B. Goldberg** Registration No. (Attorney/Agent) **44126**

Signature **John S. S.** Date **April 17, 2001**

Burden Hour Statement. This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington DC 20231

04/17/01  
jc997 U.S. PTO

PATENT  
Attorney Docket No. 23754-X

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of

Yong-Qian WU et al.

Filed:

April 17, 2001

Serial No.:

n/a

For:

**AZA COMPOUNDS, PHARMACEUTICAL COMPOSITIONS AND  
METHODS OF USE**

TRANSMITTAL LETTER

Commissioner for Patents  
Washington, D.C. 20231

Sir:

Submitted herewith for filing in the U.S. Patent and  
Trademark Office are the following:

- 1) Transmittal Letter;
- 2) Utility Patent Application Transmittal;
- 3) Application Data Sheet;
- 4) Continuation-In-Part Application including:  
155 Page Application Consisting of:  
106 Pages of Textual Specification;  
48 Pages of 43 Claims;  
1 page Abstract of the Disclosure;
- 5) Unexecuted Declaration; and
- 6) Early Notification of Serial Number Card.

The Commissioner is hereby specifically authorized to charge  
any fee deficiency or credit any over payment in connection with  
this matter to our Deposit Account No. 14-0112.

Respectfully submitted,  
**NATH & ASSOCIATES PLLC**

Date:

April 17, 2001

**NATH & ASSOCIATES PLLC**

1030 Fifteenth Street, N.W.  
Sixth Floor  
Washington, D.C. 20005-1503

Tel: (202) 775-8383

Fax: (202) 775-8396

GMN:TW;JBG:\cip.tl.wpd

Gary M. Nath

Reg. No. 26,965

Joshua B. Goldberg

Reg. No. 44,126

Customer No. 20529

jc997 U.S. PTO  
09/835523  
10/17/01

09/835523-04/17/01